



2132
41

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Art Unit	2132
		Examiner Name	G. Gurshman
Total Number of Pages in This Submission		Attorney Docket Number	42390P8098

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; width: fit-content;"> - Relined Copy of Filing Receipt - Copies of previously submitted IDSs - Return Postcard </div>	
			<input type="checkbox"/>

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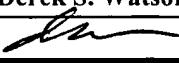
Technology Center 2100

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Gregory D. Caldwell, Reg. No. 39,926 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 8, 2004

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Derek S. Watson		
Signature		Date	June 8, 2004



FEE TRANSMITTAL

for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

<i>Complete if Known</i>	
Application Number	09/539,344
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	G. Gurshman
Art Unit	2132
Attorney Docket No.	42390P8098

98
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METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other Non

Deposit Account

Deposit Account No. 02-2666

Deposit
Account
Name: Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments

Charge any additional fee(s) or underpayment of fees as required under 3 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Paid	
Fee Code	Fee (\$)	Fee Code	Fee (\$)	<u>Fee Description</u>	
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

2. EXTRA CLAIM FEES

Total Claims	<input type="text"/>	Excluded Claims	<input type="text"/>	Return below	<input type="text"/>	Fee Paid
Independent Claims	<input type="text"/>	20**	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Multiple Dependent	<input type="text"/>	3	<input type="text"/>	X	<input type="text"/>	<input type="text"/>

Large Entity		Small Entity		
Fee Code	Fee (\$)	Fee Code	Fee (\$)	<u>Fee Description</u>
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple Dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

2 ADDITIONAL FEATURES

JUN 18 2004

Technology Center 210

Fee Paid

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920 *	1804	920 *	Requesting publication of SIR prior to Examiner action	
1805	1,840 *	1805	1,840 *	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					

* Reduced by Basic Filing Fee P

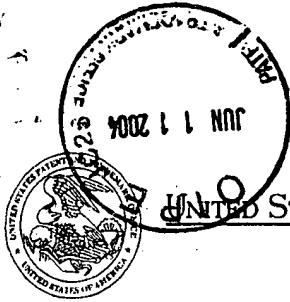
SUBTOTAL (3)

SUBMITTED BY

Complete (if applicable)

SUBMITTED BY		Complete (if applicable)		
Name (Print/Type)	Gregory D. Caldwell	Registration No. (Attorney/Agent)	39,926	Telephone
Signature			Date	06/08/04

Based on PTO/SB/17 (10-03) as modified by Blakely, Solokoff, Taylor & Zafman (wir) 02/10/2004
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



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UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS	EX-1
09/539,344	03/31/2000	2785	1978	042390.P8098	13	80	4	

FILING RECEIPT

Blakely Sokoloff Taylor & Zafman LLP
12400 Wilshire Boulevard Seventh Floor
Los Angeles, CA 90025

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DOC000000005409230*

Date Mailed: 09/19/2000

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Carl M. Ellison, Portland, OR ;
Roger A. Golliver, Beaverton, OR ;
Howard C. Herbert, Phoenix, AZ ;
Derrick C. Lin, Foster City, CA ;
Francis X. McKeen, Portland, OR ;
Gil Neiger, Portland, OR ;
Ken Reneris, Wilbraham, MA ;
James A. Sutton, Portland, OR ;
Shreekant S. Thakkar, Portland, OR ;
Milland Mittal, Palo Alto, CA ;
"Millind"

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SEP 25 2000

B.S.T.C. DATABASE DEPT.

JL

ENTERED
C 9/27/2000

Continuing Data as Claimed by Applicant

Foreign Applications

If Required, Foreign Filing License Granted 06/03/2000

Title

Managing a secure platform using a hierarchical executive architecture in isolated execution mode

Preliminary Class

713

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SEP 25 2000

STATUS DB-LA

COPY

Page 2 of 4

Data entry by : TUTT, TONDENICA

Team : OIPE

Date: 09/19/2000



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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
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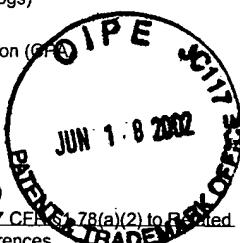
Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/crr
Date Mailed: 06/14/2002 Docket Due Date(s): Client: Intel Corporation
Title Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment: (____ pgs)
 Appeal Brief & two copies (____ pgs)
 Application: (____ pages w/ cover & abstract)
 Assignment & Cover Sheet (____ pgs)
 Certificate of Mailing
 Continued Prosecution Application (CPA)
 Declaration & POA (____ pgs)
 Drawings: ____ sheets, ____ figures
 Express Mail No: ____
 Extension of Time: ____
 Fee Transmittal (original & copy)
 Other Cross-Reference Under 37 CFR 1.78(a)(2) to Related Applications; 7 Cited References

Information Disclosure Statement & PTO/SB/08 (____ pgs)
 Issue Fee Transmittal (original & copy)
 Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)
 Notice of Appeal
 Petition for: ____
 Request for Continued Examination (RCE)
 Reply Brief (____ pgs)
 Request to Rescind Previous Nonpublication Request
 Response to Notice of Missing Parts & Formalities Letter
 Terminal Disclaimer
 Transmittal of Formal Drawings
 Transmittal of Publication Fee Due
 Transmittal Letter
 Check No. in the Amount of
 Check No. in the Amount of

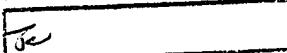


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B.S.T.Z. DATABASE DEPT.



Application No.: 09/539,344 Filing Date: 03/31/00

BSTZ Docket #: 042390.P8098

Atty/Sec: WWS/crr

Date Mailed: 05/14/2002 Docket Due Date(s):

Client: Intel Corporation

Title Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- Amendment: pgs
- Appeal Brief & two copies pgs
- Application: pages w/ cover & abstract
- Assignment & Cover Sheet pgs
- Certificate of Mailing
- Continued Prosecution Application (CPA)
- Declaration & POA pgs
- Drawings: sheets, figures
- Express Mail No:
- Extension of Time:
- Fee Transmittal (original & copy)
- Other Cross-Reference Under 37 CFR §1.78(a)(2) to Related Applications; 7 Cited References
- Information Disclosure Statement & PTO/SB/08 pgs
- Issue Fee Transmittal (original & copy)
- Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)
- Notice of Appeal
- Petition for:
- Request for Continued Examination (RCE)
- Reply Brief pgs
- Request to Rescind Previous Nonpublication Request
- Response to Notice of Missing Parts & Formalities Letter
- Terminal Disclaimer
- Transmittal of Formal Drawings
- Transmittal of Publication Fee Due
- Transmittal Letter
- Check No. in the Amount of
- Check No. in the Amount of

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.

09/539,344

Filing Date

March 31, 2000

First Named Inventor

Carl M. Ellison

Group Art Unit

2785

JUN 18 2004

Examiner Name

Unassigned

Technology Center 2100

Total Number of Pages in This Submission

16

Attorney Docket Number

42390P8098

RECEIVED**ENCLOSURES (check all that apply)** Fee Transmittal Form Assignment Papers
(for an Application) After Allowance Communication
to Group Fee Attached Drawing(s) Appeal Communication to Board
of Appeals and Interferences Amendment / Response Licensing-related Papers Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief) After Final Petition Proprietary Information Affidavits/declaration(s) Petition to Convert a
Provisional Application Status Letter Extension of Time Request Power of Attorney, Revocation
Change of Correspondence Address Other Enclosure(s)
(please identify below): Express Abandonment Request Terminal DisclaimerCross-Reference Under 37
CFR §1.78(a)(2) to Related
Applications; 7 Cited
References Information Disclosure Statement Request for Refund Certified Copy of Priority
Document(s) CD, Number of CD(s) Response to Missing Parts/
Incomplete Application

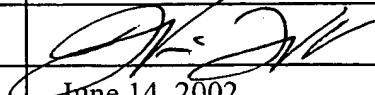
Remarks

 Response to Missing
Parts under 37 CFR
1.52 or 1.53**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm
or
Individual name

William W. Schaal, Reg. No. 39,018

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Signature



Date

June 14, 2002

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June 14, 2002

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Corrinn R. Reynolds

Signature



Date

June 14, 2002

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number 09/539,344

Filing Date March 31, 2000

First Named Inventor Carl M. Ellison

Examiner Name Unassigned

Group/Art Unit 2785

Attorney Docket No. 42390P8098

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JUN 1 8 2004

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METHOD OF PAYMENT (check one)

 Check Credit card Money Order Other None
 Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

 Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of the application
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
101	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee
SUBTOTAL (1)		(\$)		

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			=	= X	=

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple Dependent claim, if not paid	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)		(\$)			

**or number previously paid, if greater, For Reissues, see below

3. ADDITIONAL FEES

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid					
	105	130		205	65	Surcharge - late filing fee or oath						
	127	50		227	25	Surcharge - late provisional filing fee or cover sheet						
	139	130		139	130	Non-English specification						
	147	2,520		147	2,520	For filing a request for ex parte reexamination						
	112	920*		112	920*	Requesting publication of SIR prior to Examiner action						
	113	1,840*		113	1,840*	Requesting publication of SIR after Examiner action						
	115	110		215	55	Extension for reply within first month						
	116	400		216	200	Extension for reply within second month						
	117	920		217	460	Extension for reply within third month						
	118	1,440		218	720	Extension for reply within fourth month						
	128	1,960		228	980	Extension for reply within fifth month						
	119	320		219	160	Notice of Appeal						
	120	320		220	160	Filing a brief in support of an appeal						
	121	280		221	140	Request for oral hearing						
	138	1,510		138	1,510	Petition to institute a public use proceeding						
	140	110		240	55	Petition to revive - unavoidable						
	141	1,280		241	640	Petition to revive - unintentional						
	142	1,280		242	640	Utility issue fee (or reissue)						
	143	460		243	230	Design issue fee						
	144	620		244	310	Plant issue fee						
	122	130		122	130	Petitions to the Commissioner						
	123	50		123	50	Processing fee under 37 CFR 1.17(q)						
	126	180		126	180	Submission of Information Disclosure Stmt						
	581	40		581	40	Recording each patent assignment per property (times number of properties)						
	146	740		246	370	Filing a submission after final rejection (37 CFR § 1.129(a))						
	149	740		249	370	For each additional invention to be examined (37 CFR § 1.129(b))						
	179	740		279	370	Request for Continued Examination (RCE)						
	169	900		169	900	Request for expedited examination of a design application						
	Other fee (specify)											
* Reduced by Basic Filing Fee Paid						SUBTOTAL (3)						
						(\$)						

Complete (if applicable)

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature					Date 06/14/02

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ellison, et al.

Application No.: 09/538,344

Filed: March 31, 2000

For: Managing a Secure Platform Using a
Hierarchical Executive Architecture in
Isolated Execution Mode

Examiner: Unassigned

Art Group: 2785

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Assistant Comissioner for Patents
Washington, D.C. 20231

CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS

Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

- (1) A U.S. Patent Application entitled Platform And Method For Remote Attestation Of A Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.
- (2) A U.S. Patent Application entitled Generating A Key Hierarchy For Use In An Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/539,348, filed March 31, 2000.

If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

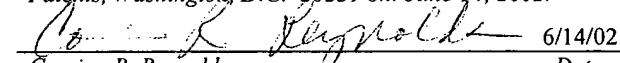
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: June 14, 2002


WILLIAM W. SCHAAL
Reg. No. 39,018

CERTIFICATE OF MAILING

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Corrinn R. Reynolds 6/14/02
Date

12400 Wilshire Boulevard, Seventh Floor
Los Angeles, California 90025
(714) 557-3800

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a
Heirarchical Executive Architecture in
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

William W. Schaal, Reg. No. 39,018

Date: June 14, 2002

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

June 14, 2002

Corinn R. Reynolds 06-14-02
Corinn R. Reynolds Date

Substitute for Form 1449A/PTO (Modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	09/538,344
Filing Date	3/31/00
First Named Inventor:	Ellison, et.
Group Art Unit	2785
Examiner Name	Unassigned

Sheet 1 of 2 Attorney Docket Number 042390.P8098

U.S. PATENT DOCUMENTS

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Technology Center 2100

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitute for Form 1449A/PTO (Modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
(use as many sheets as necessary)

Complete if Known

Application Number 09/538,344

Filing Date 3/31/00

First Named Inventor: Ellison, et. al.

Group Art Unit 2785

Examiner Name Unassigned Technology Center 2100

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Sheet

2

042390.P8098

2

Attorney Docket Number

042390.P8098

OTHER ART – NO PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 – page 1-9, page 1-13-page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11	
		"INTEL 386 DX MICROPROCESSOR 32-BIT CHMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14	
		JOE HEINRICH: "MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79	
		BERG C: "HOW DO I CREATE A SIGNED APPLET?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122	
		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTERY, CA 12 '97, pages 103-112	

Examiner
SignatureDate
Considered

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SEP 25 2001

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
LOS ANGELES

B.S.T.Z. DATABASE DEPT.

JC

Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/lrr
Date Mailed: 09/04/2001 Docket Due Date: Client: Intel Corporation
Title: MANAGING A SECURE PLATFORM USING A HIERARCHICAL EXECUTIVE ARCHITECTURE IN ISOLATED EXECUTION MODE

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment/Response (____ pgs)
 Amendment/Response After Final (____ pgs)
 Appeal Brief & two copies (____ pgs each)
 Application: (____ pages w/ cover & abstract)
 Assignment & Cover Sheet (____ pgs)
 Certificate of Mailing
 Declaration & POA (____ pgs)
 Disclosure Docs & Inv's Signed Ltr
 Drawings: ____ sheets, ____ figures
 Express Mail No. _____
 Fee Transmittal (original & copy)
 Other *Twenty-four cited references*

RECEIVED IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
SEP 10 2001

Information Disclosure Statement & PTO-1449 (4 pgs)
 Issue Fee Transmittal (original & copy)
 Notice of Appeal
 Petition for Extension of Time: _____
 Petition for _____ (____ pgs)
 Power of Attorney (____ pgs)
 Preliminary Amendment (____ pgs)
 Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
 Reply Brief (____ pgs)
 Response to Notice of Missing Parts & PTO-1533 (____ pgs)
 Supplemental Amendment (____ pgs)
 Transmittal Letter
 Check No. 1 _____ Amount _____
 Check No. 2 _____ Amount _____
 Check No. 3 _____ Amount _____

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SEP 26 2001

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP
COSTA MESA

Application No.: 09/539,344 Filing Date: 03/31/00 BSTZ Docket #: 042390.P8098 Atty/Sec: WWS/lrr
Date Mailed: 09/04/2001 Docket Due Date: Client: Intel Corporation
Title MANAGING A SECURE PLATFORM USING A HIERARCHICAL EXECUTIVE ARCHITECTURE IN ISOLATED EXECUTION MODE

Inventor(s) Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mital

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Amendment/Response (____ pgs)
 Amendment/Response After Final (____ pgs)
 Appeal Brief & two copies (____ pgs each)
 Application:
 (____ pages w/ cover & abstract)
 Assignment & Cover Sheet (____ pgs)
 Certificate of Mailing
 Declaration & POA (____ pgs)
 Disclosure Docs & Inv's Signed Ltr
 Drawings: ____ sheets, ____ figures
 Express Mail No. _____
 Fee Transmittal (original & copy)
 Other Twenty-four cited references

Information Disclosure Statement & PTO-1449 (4 pgs)
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 Supplemental Amendment (____ pgs)
 Transmittal Letter
 Check No. 1 _____ Amount _____
 Check No. 2 _____ Amount _____
 Check No. 3 _____ Amount _____

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TRANSMITTAL FORM

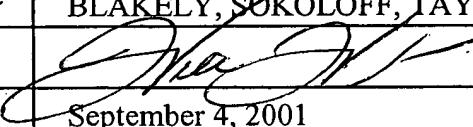
(to be used for all correspondence after initial filing)

		Application No.	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Not Assigned
Total Number of Pages in This Submission	7	Attorney Docket Number	42390P8098

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">PTO-1449 with cited references.</div>
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	
The total number of pages does not include the twenty-four cited references.		

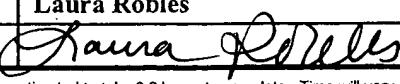
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	September 4, 2001

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

September 4, 2001

Typed or printed name	Laura Robles
Signature	
Date	September 4, 2001

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Please type a plus sign (+) inside this box → +

PTO/SB/17 (12/99)

Approved for use through 09/30/2000, OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application No.	09/539,344
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Not Assigned
Group/Art Unit	2785
Attorney Docket Number	42390P8098

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-2666
Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

Charge Any Additional Fee(s) Required
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status.
See 37 CFR 1.27.

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
				
				

**or number previously paid, if greater. For Reissues, see below

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	260	204	135	Multiple Dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

3. ADDITIONAL FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet.	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for reexamination	
112	920*	112 920*Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840*Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for response within first month	
116	390	216 195 Extension for response within second month	
117	890	217 445 Extension for response within third month	
118	1,390	218 695 Extension for response within fourth month	
128	1,890	228 945 Extension for response within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 620 Petition to revive - unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Petitions related to provisional applications	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	710	246 355 Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249 355 For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

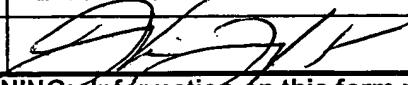
Other fee (specify) _____

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

Complete (if applicable)

Name (Print/Type)	William W. Schaaf	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	09/04/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED

<p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(Use as many sheets as necessary.)</i></p>		<i>Complete if Known</i>	
		Application Number	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Unassigned
Sheet	1	of	2
		Attorney Docket Number	

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub-class	Filing Date (if appropriate)
	4,278,837	07/14/81	Best			
	4,521,852	06/04/85	Guttag			
	5,022,077	06/04/91	Bealkowski et al.			
	5,293,424	03/08/94	Holtey et al.			
	5,421,006	05/30/95	Jablon et al.			
	5,473,692	12/05/95	Davis			
	5,479,509	12/26/95	Ugon			
	5,568,552	10/22/96	Davis			
	5,657,445	08/12/97	Pearce			
	5,729,760	03/17/98	Poisner			
	5,796,845	08/18/98	Serikawa et al.			
	5,805,712	09/08/98	Davis			
	5,835,594	11/10/98	Albrecht et al.			
	5,844,986	12/01/98	Davis			
	5,937,063	08/10/99	Davis			
	5,978,481	11/02/99	Ganesan et al.			
	6,014,745	01/11/00	Ashe			
	6,058,478	05/02/00	Davis			
	6,158,546	12/12/00	Hanson et al.			
	6,175,925	01/16/01	Nardone et al.			
	B1					

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<p>Substitute for Form 1449A/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(Use as many sheets as necessary.)</i></p>		<i>Complete if Known</i>	
		Application Number	09/539,344
		Filing Date	March 31, 2000
		First Named Inventor	Carl M. Ellison
		Group Art Unit	2785
		Examiner Name	Unassigned
Sheet	2	of	2
		Attorney Docket Number	

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **MANAGING A SECURE PLATFORM
USING A HIERARCHICAL EXECUTIVE
ARCHITECTURE IN ISOLATED
EXECUTION MODE**

Art Group: 2785

Examiner: Not Assigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

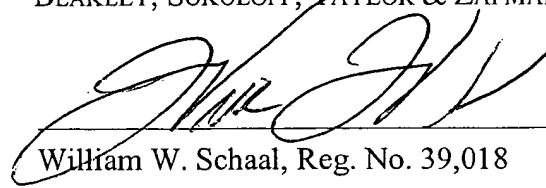
In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

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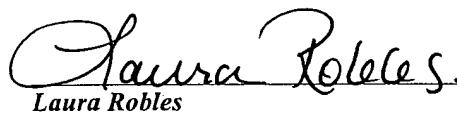
William W. Schaal, Reg. No. 39,018

Date: September 04, 2001

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
Telephone: (714) 557-3800

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: September 4, 2001.



Laura Robles

09/04/01

Date

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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
COSTA MESA

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
LOS ANGELES

Application No.: 09/539,344 Filing Date: 3/31/2000

Docket #: 42390.P8098

Date Mailed: 12/10/2003 Due Date(s): _____

Client: INTEL CORPORATION

Atty/Sec: WWS/crr

Title: Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

First Named Inventor: Carl M. Ellison

The following has been received in the U.S.P.T.O. on the date stamped hereon:

Certificate of Mailing

Fee Transmittal (original & copy)

Information Disclosure Statement & PTO/SB/08 (4 pgs)

Transmittal Letter

Cited References

Postcard

Assignee: Intel Corporation

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BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN
SUNNYVALE

Application No.: 09/539,344 Filing Date: 3/31/2000 Docket #: 42390.P8098

Date Mailed: 12/10/2003 Due Date(s): _____

Client: INTEL CORPORATION Atty/Sec: WWS/crr

Title: Managing Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a
Hierarchical Executive Architecture in
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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Technology Center 2100

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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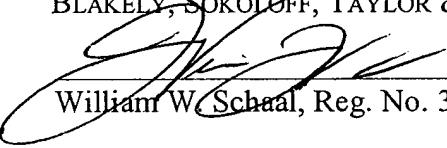
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Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: December 10, 2003


William W. Schaal, Reg. No. 39,018

3200 Park Center Drive, Suite 750
Costa Mesa, CA 92626
Telephone: (714) 557-3800

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Corinn R. Reynolds

cc
12-10-03

Date

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

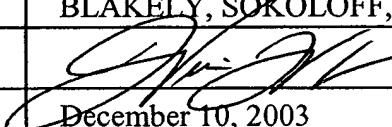
Application No.	09/539,344
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Art Unit	2785
Examiner Name	Unassigned
Total Number of Pages in This Submission	1
Attorney Docket Number	42390P8098

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JUN 18 2004
Technology Center 2100

ENCLOSURES (check all that apply)

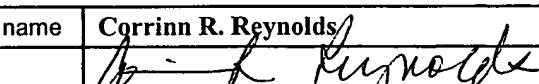
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08 <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; height: 40px;">Cited References</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William W. Schaal, Reg. No. 39,018 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	December 10, 2003

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Corrinn R. Reynolds	11/04
Signature		Date
		December 10, 2003

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number	09/539,344
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Unassigned
Group/Art Unit	2785
Attorney Docket No.	42390P8098

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Technology Center 2100

METHOD OF PAYMENT (check all that apply)

Check Credit card Money Order Other None
 Deposit Account

Deposit Account Number

Deposit Account Name

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
1001	2001	385 Utility filing fee	<input type="text"/>
1002	2002	170 Design filing fee	<input type="text"/>
1003	2003	265 Plant filing fee	<input type="text"/>
1004	2004	385 Reissue filing fee	<input type="text"/>
1005	2005	80 Provisional filing fee	<input type="text"/>
SUBTOTAL (1)		(\$)	<input type="text"/>

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
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		3	<input type="text"/> X <input type="text"/>	<input type="text"/>
Multiple Dependent				

Large Entity	Small Entity	Fee Description
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1201	86	2201 43 Independent claims in excess of 3
1203	290	2203 145 Multiple Dependent claim, if not paid
1204	86	2204 43 **Reissue independent claims over original patent
1205	18	2205 9 **Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)

*or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
1051	130	2051 65 Surcharge - late filing fee or oath	<input type="text"/>
1052	50	2052 25 Surcharge - late provisional filing fee or cover sheet.	<input type="text"/>
2053	130	2053 130 Non-English specification	<input type="text"/>
1812	2,520	1812 2,520 For filing a request for ex parte reexamination	<input type="text"/>
1804	920*	1804 920* Requesting publication of SIR prior to Examiner action	<input type="text"/>
1805	1,840*	1805 1,840* Requesting publication of SIR after Examiner action	<input type="text"/>
1251	110	2251 55 Extension for reply within first month	<input type="text"/>
1252	420	2252 210 Extension for reply within second month	<input type="text"/>
1253	950	2253 475 Extension for reply within third month	<input type="text"/>
1254	1,480	2254 740 Extension for reply within fourth month	<input type="text"/>
1255	1,210	2255 605 Extension for reply within fifth month	<input type="text"/>
1404	330	2401 165 Notice of Appeal	<input type="text"/>
1402	330	2402 165 Filing a brief in support of an appeal	<input type="text"/>
1403	290	2403 145 Request for oral hearing	<input type="text"/>
1451	1,510	2451 1,510 Petition to institute a public use proceeding	<input type="text"/>
1452	110	2452 55 Petition to revive - unavoidable	<input type="text"/>
1453	1,330	2453 665 Petition to revive - unintentional	<input type="text"/>
1501	1,330	2501 665 Utility issue fee (or reissue)	<input type="text"/>
1502	480	2502 240 Design issue fee	<input type="text"/>
1503	640	2503 320 Plant issue fee	<input type="text"/>
1460	130	2460 130 Petitions to the Commissioner	<input type="text"/>
1807	50	1807 50 Processing fee under 37 CFR 1.17(q)	<input type="text"/>
1806	180	1806 180 Submission of Information Disclosure Stmt	<input type="text"/>
8021	40	8021 40 Recording each patent assignment per property (times number of properties)	<input type="text"/>
1809	770	1809 385 Filing a submission after final rejection (37 CFR § 1.129(a))	<input type="text"/>
1810	770	2810 385 For each additional invention to be examined (37 CFR § 1.129(b))	<input type="text"/>
1801	770	2801 385 Request for Continued Examination (RCE)	<input type="text"/>
1802	900	1802 900 Request for expedited examination of a design application	<input type="text"/>
Other fee (specify)			<input type="text"/>

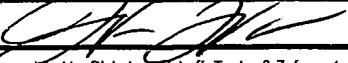
* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	12/10/03

Based on PTO/SB/17 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wtr) 08/11/2003.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known	
Application Number	09/539,344
Filing Date	March 31, 2000
First Named Inventor:	Carl M. Ellison
Group Art Unit	2785
Examiner Name	Unassigned
Attorney Docket Number	042390P8098

Sheet

1

of

9

Attorney Docket Number

042390P8098

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

Examiner
Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Examiner Signature		Date Considered	
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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DEC 04 2002

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP
COSTA MESA

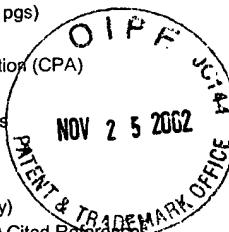
Application No.: **09/539,344** Filing Date: **03/31/00** BSTZ Docket #: **042390.P8098** Atty/Sec: **WWS/crr**
Date Mailed: **11/18/2002** Docket Due Date(s): Client: **Intel Corporation**
Title **Managing Secure Platform Using a Heirarchical Executive Architecture in Isolated Execution Mode**

Inventor(s) **Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal**

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

Amendment: pgs Information Disclosure Statement & PTO/SB/08 4 pgs
 Appeal Brief & two copies pgs Issue Fee Transmittal (original & copy)
 Application: pages w/ cover & abstract Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)
 Assignment & Cover Sheet pgs Notice of Appeal
 Certificate of Mailing Petition for:
 Continued Prosecution Application (CPA) Request for Continued Examination (RCE)
 Declaration & POA pgs Reply Brief pgs
 Drawings: sheets, figures Request to Rescind Previous Nonpublication Request
 Express Mail No: Response to Notice of Missing Parts & Formalities Letter
 Extension of Time: Terminal Disclaimer
 Fee Transmittal (original & copy) Transmittal of Formal Drawings
 Other Copy of Search Report: 9 Cited References Transmittal of Publication Fee Due
 Transmittal Letter
 Check No. in the Amount of
 Check No. in the Amount of

CM
Assignee: **Intel Corporation**



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Application No. **09/539,344**

Filing Date: **03/31/00**

BSTZ Docket #: **042390.P8098**

Atty/Sec: **WWS/crr**

Date Mailed: **11/18/2002**

Docket Due Date(s):

Client: **Intel Corporation**

Title: **Managing Secure Platform Using a Heirarchical Executive Architecture in Isolated Execution Mode**

Inventor(s): **Ellison, Golliver, Herbert, Lin, McKeen, Neiger, Reneris, Sutton, Thakkar, Mittal**

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment: <u> </u> pgs	<input checked="" type="checkbox"/> Information Disclosure Statement & PTO/SB/08 (<u>4</u> pgs)
<input type="checkbox"/> Appeal Brief & two copies (<u> </u> pgs)	<input type="checkbox"/> Issue Fee Transmittal (original & copy)
<input type="checkbox"/> Application: <u> </u> pages w/ cover & abstract)	<input type="checkbox"/> Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i)
<input type="checkbox"/> Assignment & Cover Sheet (<u> </u> pgs)	<input type="checkbox"/> Notice of Appeal
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Petition for: <u> </u>
<input type="checkbox"/> Continued Prosecution Application (CPA)	<input type="checkbox"/> Request for Continued Examination (RCE)
<input type="checkbox"/> Declaration & POA (<u> </u> pgs)	<input type="checkbox"/> Reply Brief (<u> </u> pgs)
<input type="checkbox"/> Drawings: <u> </u> sheets, <u> </u> figures	<input type="checkbox"/> Request to Rescind Previous Nonpublication Request
<input type="checkbox"/> Express Mail No: <u> </u>	<input type="checkbox"/> Response to Notice of Missing Parts & Formalities Letter
<input type="checkbox"/> Extension of Time: <u> </u>	<input type="checkbox"/> Terminal Disclaimer
<input checked="" type="checkbox"/> Fee Transmittal (original & copy)	<input type="checkbox"/> Transmittal of Formal Drawings
<input checked="" type="checkbox"/> Other <u>Copy of Search Report; 9 Cited References</u>	<input type="checkbox"/> Transmittal of Publication Fee Due
<u> </u>	<input checked="" type="checkbox"/> Transmittal Letter
<u> </u>	<input type="checkbox"/> Check No. in the Amount of <u> </u>
<u> </u>	<input type="checkbox"/> Check No. in the Amount of <u> </u>

CM

Assignee: Intel Corporation

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/539,344

Filed: March 31, 2000

For: **Managing Secure Platform Using a
Heirarchical Executive Architecture in
Isolated Execution Mode**

Art Group: 2785

Examiner: Unassigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

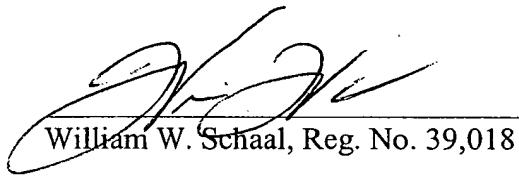
In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



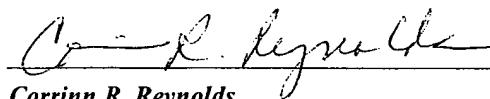
William W. Schaal, Reg. No. 39,018

Date: November 18, 2002

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(714) 557-3800

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November 18, 2002



Corinn R. Reynolds

11-18-02

Date

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No. 09/539,344

Filing Date March 31, 2000

First Named Inventor Carl M. Ellison

Group Art Unit 2785

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Examiner Name Unassigned

Technology Center 2100

Total Number of Pages in This Submission

20

Attorney Docket Number 42390P8098

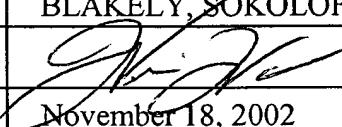
ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">SB08, Copy of Search Report and 9 Cited Reference</div>
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
	Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name William W. Schaal, Reg. No. 39,018

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Signature 

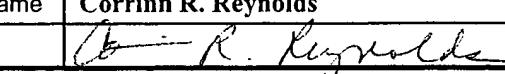
Date November 18, 2002

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

November 18, 2002

Typed or printed name Corrinn R. Reynolds

Signature 

Date

November 18, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number	09/539,344
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	Unassigned
Group/Art Unit	2785
Attorney Docket No.	42390P8098

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METHOD OF PAYMENT (check one)

Check Credit card Money Order Other None
 Deposit Account

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	740	2001	370	Utility filing fee
1002	330	2002	165	Design filing fee
1003	510	2003	255	Plant filing fee
1004	740	2004	370	Reissue filing fee
1005	160	2005	80	Provisional filing fee
SUBTOTAL (1)		(\$)		

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
		20**	= <input type="text"/> X <input type="text"/> = <input type="text"/>	
		3	= <input type="text"/> X <input type="text"/> = <input type="text"/>	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple Dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$)		

**or number previously paid, if greater. For Reissues, see below

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
1051	130	2051 65 Surcharge - late filing fee or oath	
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1251	110	2251 55 Extension for reply within first month	
1252	400	2252 200 Extension for reply within second month	
1253	920	2253 460 Extension for reply within third month	
1254	1,440	2254 720 Extension for reply within fourth month	
1255	1,960	2255 980 Extension for reply within fifth month	
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1402	320	2402 160 Filing a brief in support of an appeal	
1403	280	2403 140 Request for oral hearing	
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1452	110	2452 55 Petition to revive - unavoidable	
1453	1,280	2453 640 Petition to revive - unintentional	
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1810	740	2810 370 For each additional invention to be examined (37 CFR § 1.129(b))	
1801	740	2801 370 Request for Continued Examination (RCE)	
1802	900	1802 900 Request for expedited examination of a design application	
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	William W. Schaaf	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	11/18/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

Burden Hour Statement: This form is estimated to take 12 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Complete if Known	
		Application Number	09/539344
		Filing Date	March 31, 2000
		First Named Inventor	Ellison, Carl M.
		Group Art Unit	2785
		Examiner Name	Unassigned
Sheet 1 of 1		Attorney Docket No: 42P08098	

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US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	DE-DE4217444	12/03/1992	Toyohisa, Imada , et al.			
	EP-EP0473913	03/11/1992	Farrell, Joel A.			abs

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		BRANDS, STEFAN , "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995),Chapter 3	
		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", Proceedings of the Symposium on Security and Privacy, IEEE Comp. Soc. Press, ISBN 0-8186-1939-2,(May 1989)	
		KASHIWAGI, KAZUHIKO , et al., "Design and Implementation of Dynamically Reconstructing System Software", Software Engineering Conference, Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc, US, ISBN 0-8186-7638-8,(1996)	
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EXAMINER

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